

Docket No.: 070456-0016



PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Customer Number: 20277  
Kouichi OKUGAMI, et al. : Confirmation Number: 4835  
Application No.: 10/787,221 : Group Art Unit: 3682  
Filed: February 27, 2004 : Examiner: Justin Krause

For: TRANSMISSION COMPONENT, METHOD OF MANUFACTURING THE SAME, AND  
TAPERED ROLLER BEARING

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

**REQUEST TO CONSIDER REFERENCES AFTER CLOSE OF PROSECUTION AND  
BEFORE PAYMENT OF ISSUE FEE**

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. It is respectfully requested that the documents be expressly considered during the prosecution of this application, and that the documents be made of record therein and appear among the

07/19/2007 DEMMANU1 00000048 500417 10787221  
01 FC:1806 180.00 DA

10/787,221

"References Cited" on any patent to issue therefrom. Please charge the processing fee under 1.17(p) of \$180.00 to Deposit Account .

Please note that the reference **US 6,224,688** was previously submitted to the U.S. Patent and Trademark Office on January 25, 2006.

Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.

Respectfully submitted,

McDERMOTT WILL & EMERY LLP



Stephen A. Becker  
Registration No. 26,527

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
Phone: 202.756.8000 SAB:kfm  
Facsimile: 202.756.8087  
**Date: July 18, 2007**

**Please recognize our Customer No. 20277  
as our correspondence address.**

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(PTO-1449)

ATTY. DOCKET NO.

070456-0016

SERIAL NO.

10/787,221

APPLICANT

Kouichi OKUGAMI, et al.

FILING DATE

February 27, 2004

GROUP

3682

## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US 6,258,179	07-10-2001	Takayama, et al.	
		US 2003/0075244 A1	04-24-2003	Kurebayashi, et al.	
		US 5,972,130	10-26-1999	Underys, et al.	
		US 5,129,966	07-14-1992	Rao	
		US 6,251,198	06-26-2001	Koo, et al.	
		US 5,772,956	06-30-1998	Hasegawa, et al.	
		US 2003/0040401 A1	02-27-2003	Okita, et al.	
		US 7,147,382	12-12-2006	Suzuki, et al.	
		US 6,532,920 B1	03-18-2003	Sweetnam, et al.	
		US 6,447,619 B1	09-10-2002	Takayama et al.	
		US 6,328,009 B1	12-11-2001	Brothers	
		US 6,306,227 B2	10-23-2001	Okayama et al.	
		US 6,158,263	12-12-2000	Maeda et al.	
		US 6,095,692	08-01-2000	Takemura	
		US 2005/0205163 A1	09-22-2005	Ohki	
		US 2004/0170348 A1	09-02-2004	Okugami et al.	

## FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes-Number 4-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation Yes No
		WO 91/00929	01-24-1991			English Abstract Only
		JP 63-185917	11-29-1988	Koyo Seiko Co., Ltd.		JAPAN (w/Partial English Translation)
		JP 2002-194438	07-10-2002	NSK Ltd.		JAPAN (w/English Abstract)
		JP 2002-031212	01-31-2002	Koyo Seiko Co., Ltd.		JAPAN (w/English Abstract)

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

 ATTY. DOCKET NO.  
**070456-0016**

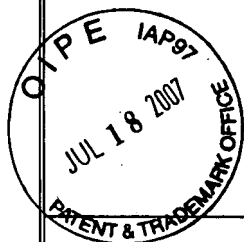
 SERIAL NO.  
**10/787,221**

 APPLICANT  
**Kouichi OKUGAMI, et al.**

 FILING DATE  
**February 27, 2004**

 GROUP  
**3682**

(PTO-1449)



## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US 6,012,851	01-11-2000	Hirakawa et al.	
		US 5,979,383	11-09-1999	Faville et al.	
		US 5,944,916	08-31-1999	Chung	
		US 5,853,249	12-29-1998	Maeda et al.	
		US 5,803,993	09-08-1998	Yoshida et al.	
		US 5,792,286	08-11-1998	Inoue et al.	
		US 5,775,280	07-07-1998	Schmidt et al.	
		US 5,733,667	03-31-1998	Nakasuji et al.	
		US 5,658,082	08-19-1997	Tsushima et al.	
		US 5,611,250	03-18-1997	Narai et al.	
		US 5,595,610	01-21-1997	Maeda et al.	
		US 5,456,766	10-10-1995	Beswick et al.	
		US 5,456,136	10-10-1995	Yamashita et al.	
		US 5,427,600	06-27-1995	Itoh et al.	
		US 5,427,457	06-27-1995	Furumura et al.	
		US 5,375,323	12-27-1994	Sata	
		US 3,954,517	05-04-1976	Jatczak et al.	

## FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes-Number + -Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation	
						Yes	No
		JP 2001-200314	07-24-2001	NTN Corp		JAPAN (w/English Abstract)	
		JP 2000-212721	08-02-2000	NSK Ltd.		JAPAN (w/English Abstract)	
		JP 2000-205284	07-25-2000	Koyo Seiko Co., Ltd.		JAPAN (w/English Abstract)	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>(PTO-1449)</b>				ATTY. DOCKET NO. <b>070456-0016</b>		SERIAL NO. <b>10/787,221</b>	
APPLICANT <b>Kouichi OKUGAMI, et al.</b>							
FILING DATE <b>February 27, 2004</b>				GROUP <b>3682</b>			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		US 2002/0082133 A1	06-27-2002	Yoshikawa et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes-Number 4-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation Yes      No	
		JP 2000-038907	02-08-2000	Nippon Seiko KK		JAPAN (w/English Abstract)	
		JP 2000-038906	02-08-2000	Nippon Seiko KK		JAPAN (w/English Abstract)	
		JP 10-184701	07-14-1998	NTN Corp		JAPAN (w/English Abstract)	
		JP 10-110720	04-28-1998	Mitsubishi Motors Corp		JAPAN (w/English Abstract)	
		JP 10-103339	04-21-1998	Koyo Seiko Co., Ltd.		JAPAN (w/English Abstract)	
		JP 10-047334	02-17-1998	Nippon Seiko KK		JAPAN (w/English Abstract)	
		JP 09-176740	07-08-1997	NTN Corp		JAPAN (w/English Abstract)	
		JP 09-053148	02-25-1997	Kobe Steel Ltd.; Nissan Motor Co., Ltd.		JAPAN (w/English Abstract)	
		JP 06-117438	04-26-1994	NTN Corp		JAPAN (w/English Abstract)	
		JP 05-179350	07-20-1993	NTN Corp		JAPAN (w/English Abstract)	
		GB 2 258 274 A	02-03-1993	NSK Ltd.		X	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
EXAMINER				DATE CONSIDERED			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (PTO-1449)				ATTY. DOCKET NO. <b>070456-0016</b>		SERIAL NO. <b>10/787,221</b>	
				APPLICANT <b>Kouichi OKUGAMI, et al.</b>			
				FILING DATE <b>February 27, 2004</b>		GROUP <b>3682</b>	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		US					
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Code <sup>3</sup> -Number 4-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines Where Relevant Figures Appear	Translation Yes No
		EP 0 950 723 A1	10-20-1999	Komatsu Ltd.			X
		EP 0 811 789 A1	12-10-1997	Koyo Seiko Co., Ltd.			X
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
		KIM, C., et al., "Influence of Subzero and Shot-Peening Treatments on Impact and Fatigue Fracture Properties of Case-Hardened Steels", June 1981, Pages 43-53, v 2, CSA.					
		BURRIER Jr., H., "Hardenability of Carbon and Low-Alloy Steels", 2002, ASM International.					
		VANDER VOORT, "Embrittlement of Steels", 2002, ASM International.					
		"Method of Impact Test for Metallic Materials", Japanese Industrial Standard JIS Z 2242, November 1999, Pages 1-7, Japanese Standards Association, Tokyo, Japan.					
		"Test Pieces for Impact Test for Metallic Materials", Japanese Industrial Standard JIS Z 2202, July 1998, Pages 1-3, Japanese Standards Association, Tokyo, Japan.					
		"Methods of Austenite Grain Size Determination for Steel", Japanese Industrial Standard JIS G 0551, June 1998, Pages 1-25, Japanese Standards Association, Tokyo, Japan.					
EXAMINER				DATE CONSIDERED			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.